Defense Information Systems Agency
Department of Defense

# Unified Capabilities APL Process Brief

Unified Capabilities Certification Office (UCCO)
11 June 2009
ucco@disa.mil

# Agenda

- Policy Documents
- Unified Capabilities (UC) Approved Product List (APL) Process Overview
- Unified Capabilities Certification Office (UCCO)
- Information Assurance Testing
- Interoperability Testing
- Product Pre-submittal Responsibilities
- UC APL Process Timeline
- Questions

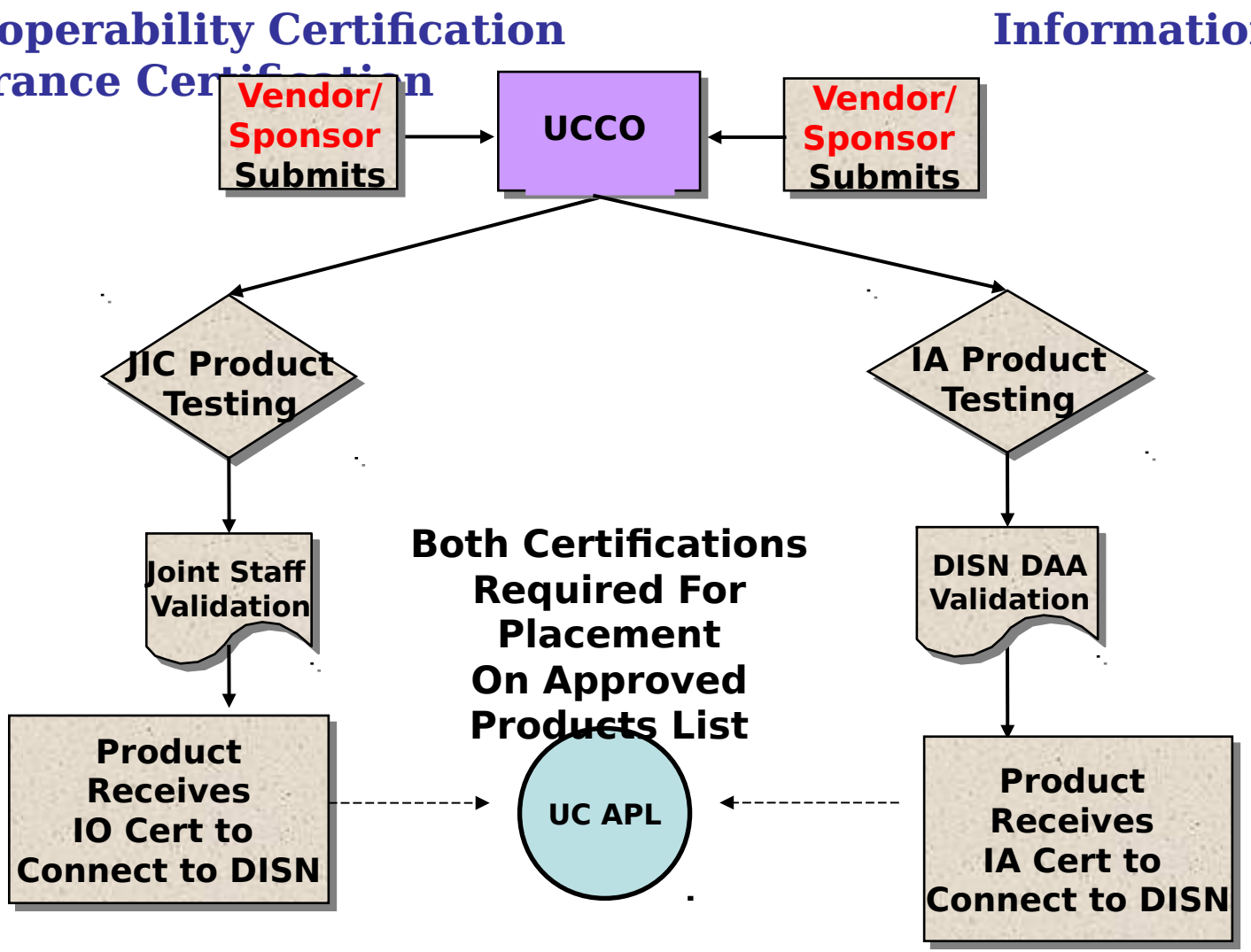
# Guiding Policy Documents

- **CJCSI 6211.02C** "**DISN CONNECTION POLICY, RESPONSIBILITIES, AND PROCESSES**"
  - Establishes policy, responsibilities and connection approval process requirements for sub-networks of the Defense Information Systems Network (DISN).
- **CJCSI 6215.01C "POLICY FOR DOD VOICE NETWORKS WITH REAL TIME SERVICES (RTS)"**
  - Directs DISA to manage the DISN from end to end.
- **DoDI 8100.3 "DoD Voice Networks"**
  - Directs Joint Interoperability and Information Assurance testing of all components connected, or planned for connection to the DSN, DRSN, or PSTN.
- **DoDD 8500.1E "Information Assurance"**
  - Directs all information Technology to be IA tested and certified before connection to the DISN.

# Other Guidance Documents

- **Unified Capabilities Requirements (UCR 2008)**
  - Specifies technical standards for telecommunication switching equipment to be connected to the DISN; emphasis is on Military Unique Features, e.g., Multilevel Precedence and Preemption (MLPP).
- **DISA Security Technical Implementation Guides (STIG)**
  - Defines technical security policies, requirements, and Implementation details for applying security to the DISN.
- **NIST Special Publication 800-42 (SP 800-42)**
  - Guideline on Network Security Testing that describes multiple types of security tests used to assess vulnerabilities of telecom systems.

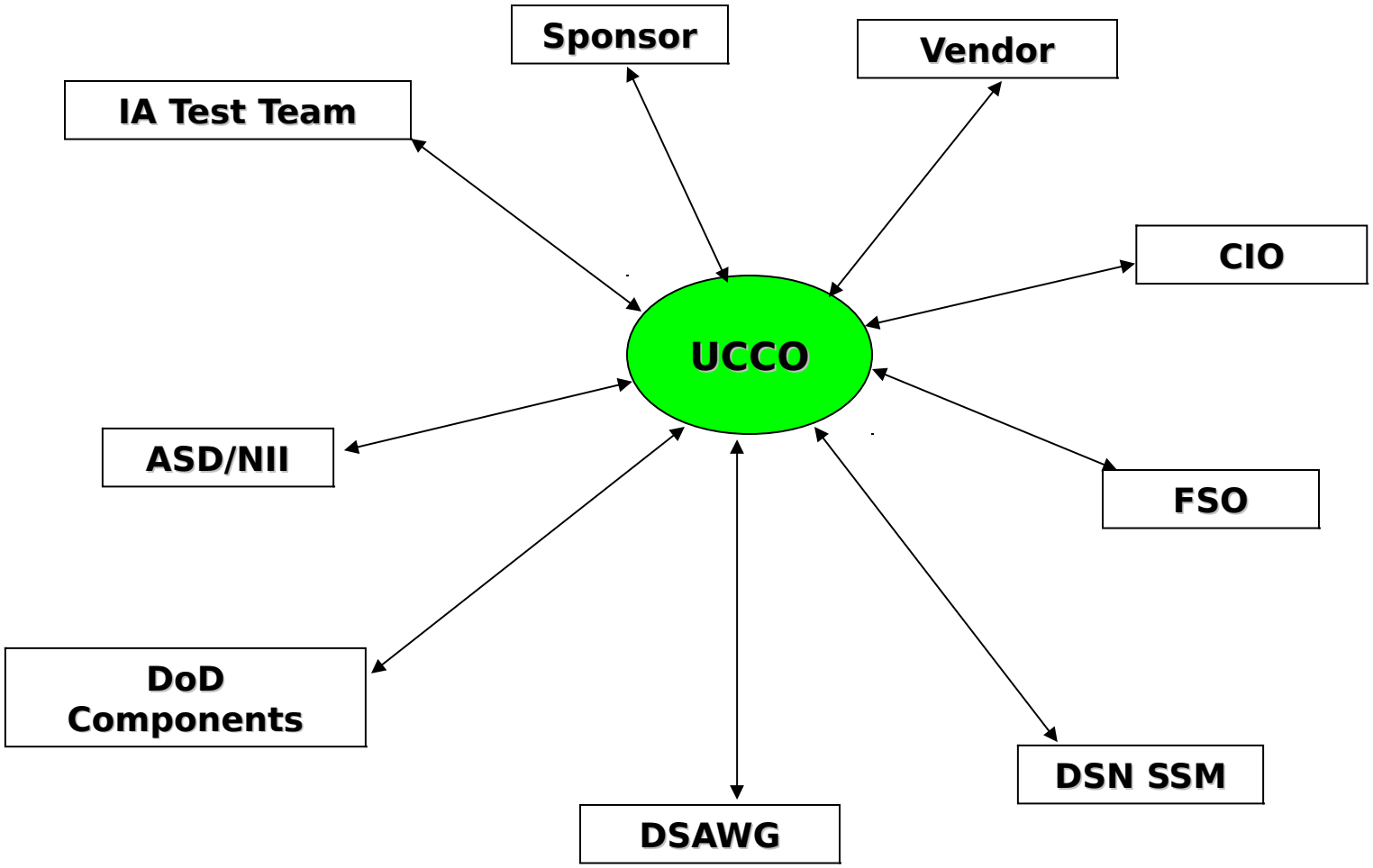
# UC APL Product Certification Process



# Unified Capabilities Certification Office

- **UCCO:**
  - **Central point of contact the Unified Capabilities Approved Products list process**
    - **http://www.disa.mil/ucco/index.html**
  - **Manages IO and IA test team schedule**
  - **Coordinates and tracks product status on testing schedule,  test results, and the UC APL.**
  - **Provides Sponsor/vendor tracking numbers to track product**
  - **Submits the proper certification documentation for the product to the DISN Security Accreditation Working Group (DSAWG)**
  - **Contacts the sponsor with the decision regarding their submittal.**

# UCCO Coordination Members



# Information Assurance Testing

- **Composed of two (2) phases:**
  - **Phase I: Security Technical Implementation Guide (STIG) compliance, Functional Security Tests**
  - **Phase II: IP Penetration Testing and Telephony Testing**
- **Validates product compliance with Federal and DoD IA requirements**
- **IA test results**
  - **Vendor mitigations evaluated by Field Security Office (FSO) for certification recommendation by Certifying Authority to DISN Security Accreditation Working Group**

# Product Pre-submittal Responsibility

APPLICANT Responsibility

The Applicant is required to adhere to the following requirements listed below. Neither JIC nor IA testing will be conducted on the submitted solution without ongoing compliance with the following requirements. Please check the boxes indicating your acceptance to comply.

1. Applicant responsible for coordinating payment of lab testing fees/CRADA agreements with Action Officer that will contact applicant upon acceptance of completed test submittal and release of solution Tracking Number.

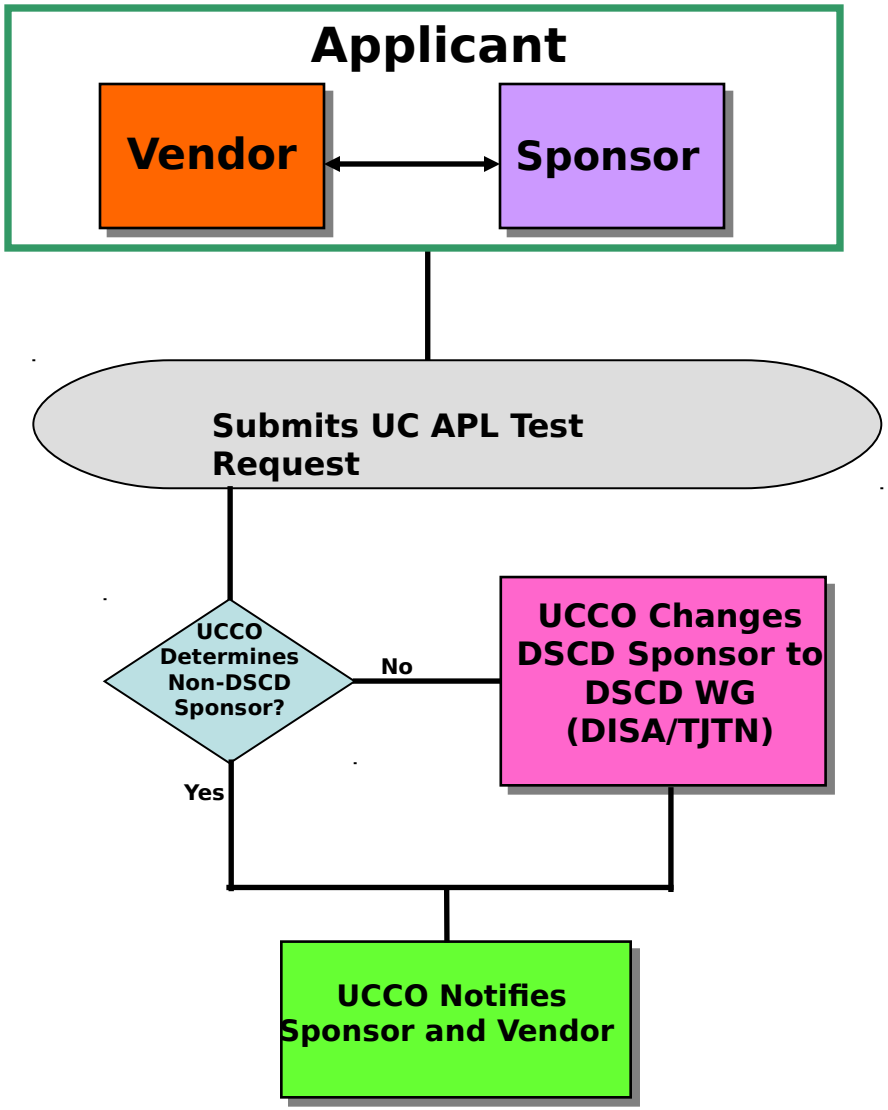
2. Download the APL Test Bundle from the appropriate Testing Facility Page. Review bundle and submit documentation IAW the APL Documentation Guide which is included in the APL Test Bundle. Upon receipt of all required documentation a testing Tracking Number will be issued for the solution initiating testing process.

3. Apply applicable Security Technical Implementation Guide (STIGS) requirements to the submitted product and submit results to UCCO 2 weeks prior to scheduled testing.

4. Applicant (ie: either vendor or sponsor) ensures on-site engineering support be provided during all phase of APL testing assigned for the solution under test. TSSI test scheduled is located at the following link: TSSI Testing Schedule

5. Applicant concurs with right of UCCO to make final determination of IA testing location based upon schedule load balancing and available testing resources.

# Step 1: Submittal




STEP 1: Applicant Agrees to the following prior to submittal:

1) Payment or CRADA.
2) Provide technical documentation prior to receiving tracking number from UCCO.
3) Apply all applicable STIG's requirements. Submit Self-assessment Results (SAR) and mitigations to UCCO no later than 2 weeks prior to scheduled test date.
4) Will provide on site engineering support during all phases of testing.
5) Agree to ship equipment to alternate test facility if UCCO assigns test there

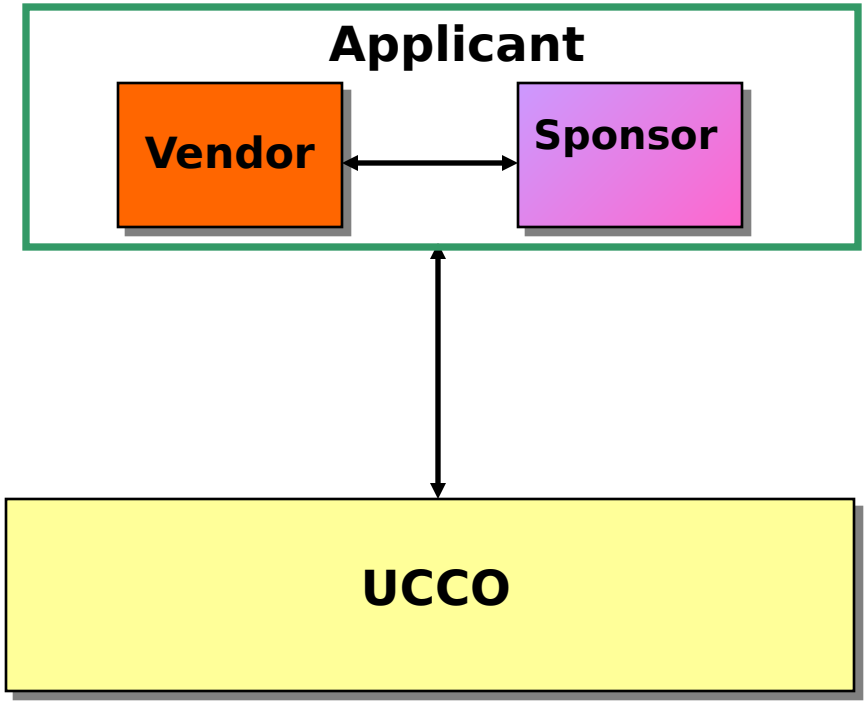
STEP 2: Complete submittal form.

STEP 3: Download Appropriate APL Test Bundle

STEP 4: UCCO verifies Non-DSCD. If not, the sponsor is changed to DSCD WG

STEP 5: Notify all parties.

# Step 2: Vendor Pre-Scheduling Actions




1) Complete STIG checklist.
2) Provide STIG checklist and Product Technical Documentation IAW requirements outlined in Rules Of Engagement (APL Test Bundle) to UCCO.

# Step 3: UCCO Verification

**UCCO:**

1) Upon receipt of STIG Checklist and documentation DISA will verify technical sufficiency (clock starts).

2) Send Sponsor Verification Email to solution sponsor requiring verification of the following:

   a) Sponsorship of submitted solution

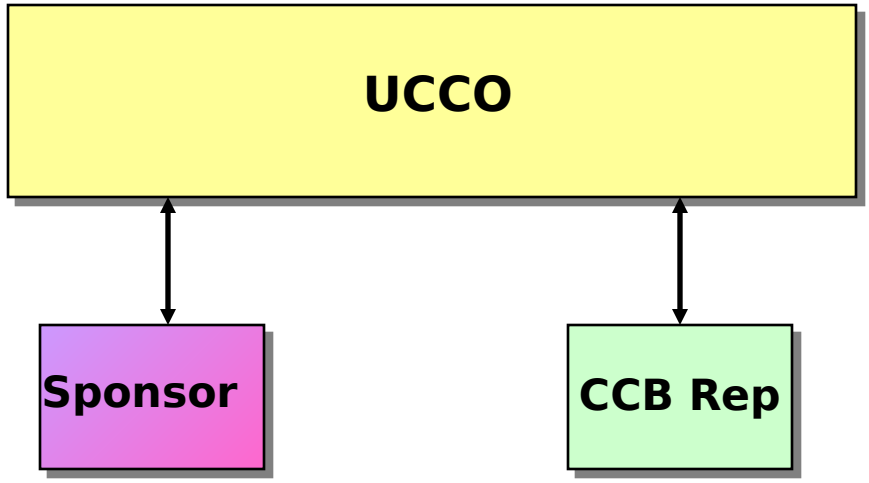
   b) Agreement to review and confirm solution deployment configuration provided by vendor

   c) Agreement to attend scheduled Outbrief for solution

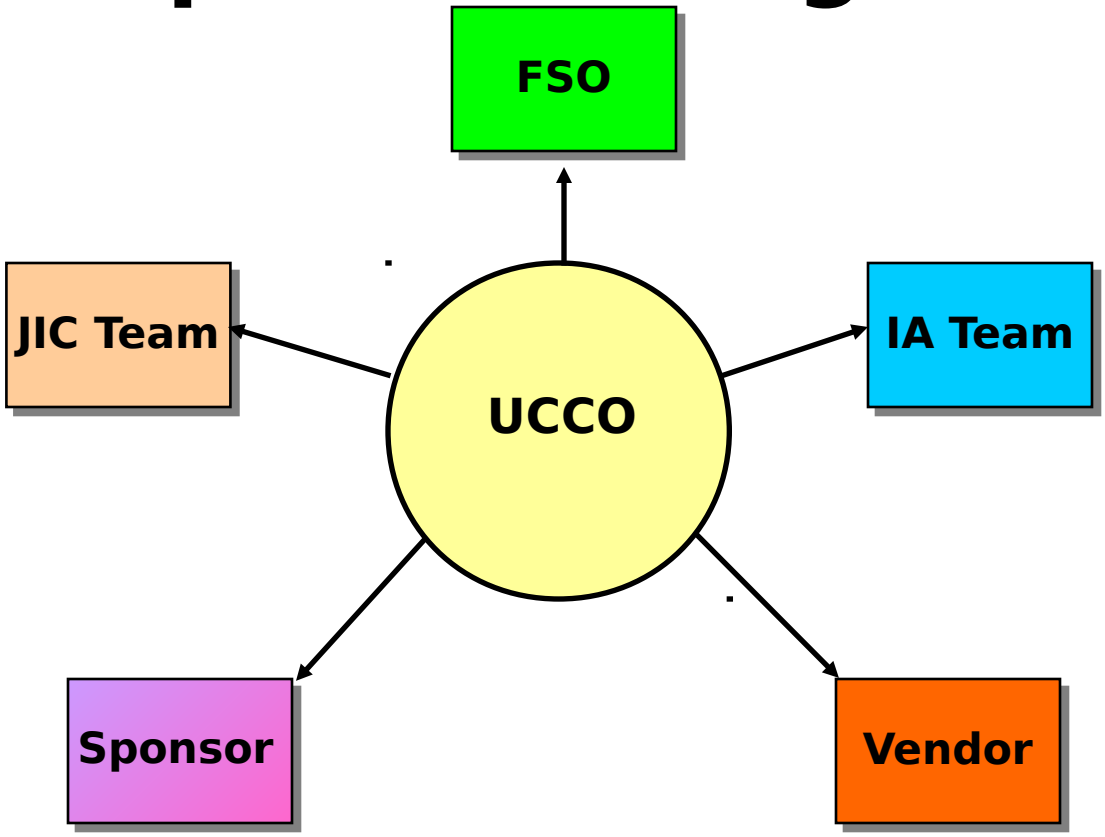
3) Send CCB Notification Email

   a) Contact UCCO if any issues

4) Sponsor verifies all items in email to UCCO.

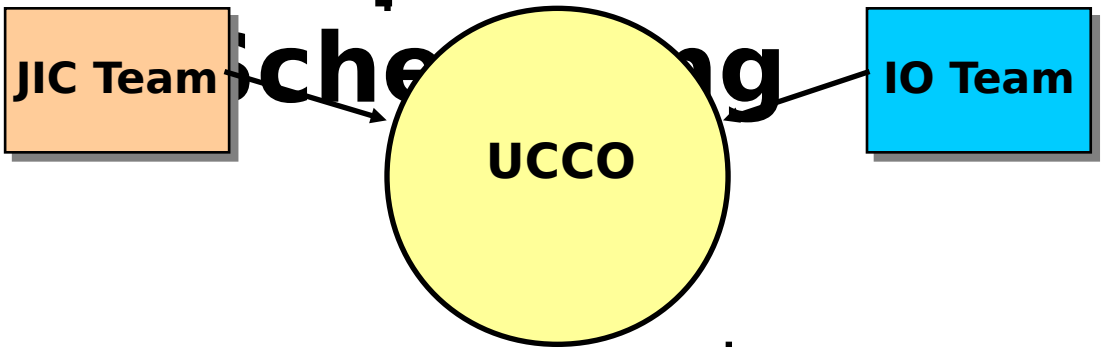


# Step 4: Tracking Number




UCCO: Assigns and distributes Tracking Number after STIG Checklist and Product Documentation received and Verification successfully completed.

# Step 5: Sche ng




UCCO/Test Teams:

1) TSSI Scheduling occurs every other Wednesday.
2) Schedule new products for IA/IO testing.
3) Make decisions on possible slips, postponements, and cancellations.
    a) If cancellation occurs, identify potential replacement vendors (If Self-Assessment Report (SAR) requirement has been satisfied)

# Step 6: AO Initial Contact

STEP 1: Conducts Initial Contact Meeting (ICM) via teleconference with sponsor, vendor, IA, FSO and UCCO to discuss the following: (Note: Replaces Inbrief):

a) Submitted Product Documentation and Diagrams.

b) Describe the System Under Test (SUT) configuration

c) CRADA/Fee arrangements

d) FSO STIG Questionnaire and applicable STIG's

e) Scheduled IA Test Dates

f) Tentatively schedule Outbrief date

g) Misc. Issues

STEP 2: Generates ICM minutes.

STEP 3: Minutes sent to sponsor for validation

STEP 4: UCCO/Test Teams/FSO supply continuous support to

# Step 7: Self-Assessment Evaluation

1) UCCO sends warning notification to vendor/sponsor 1 week prior to Self-assessment due date.
2) Self-Assessment reports and mitigations due to UCCO NLT 2 weeks prior to scheduled IA test dates.
3) If Self Assessment is not received, the scheduled test window is cancelled.
    a) Tracking Number is retired and vendor must re-submit when ready.

# Self-Assessment Criteria

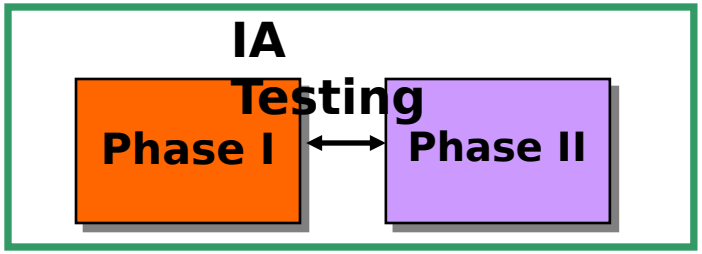
Received by UCCO at least 2 weeks prior to testing

Initial Contact (ICM) Meeting Minutes used to determine completeness

Vendor and Sponsor work together to provide Mitigations

1) Self Assessments must be received on time
   a) Encourage early submissions to prevent last minute cancellations
2) Self Assessments must be complete
   a) Requirements identified from STIG questionnaire
   b) STIGs verified by IATT and FSO during ICM
3) Self Assessments must contain mitigations to all findings, particularly high risk

# Step 8: IA Testing



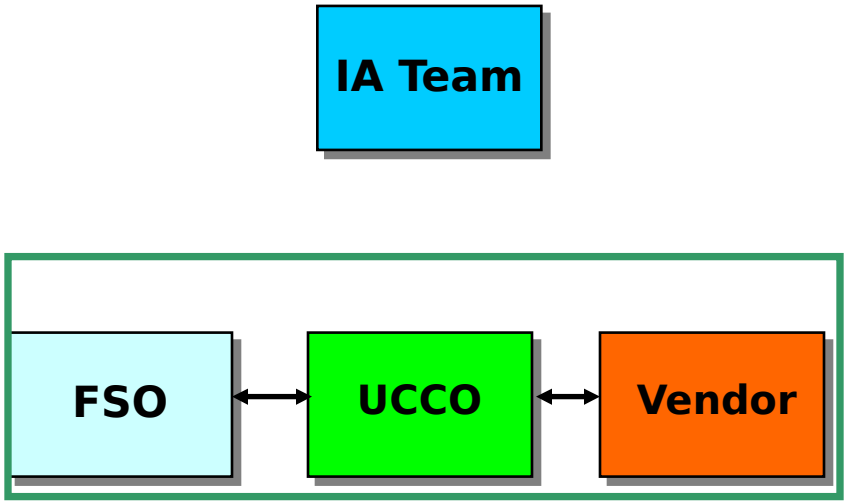

1) Phase I: STIG Testing
2) Phase II: Penetration Testing

- Vendors will be required to provide on-site engineering support during all phases of testing.
- Vendors will be allowed to fix findings/TDR's on-site within test window as long as doesn't interfere with completion of testing.

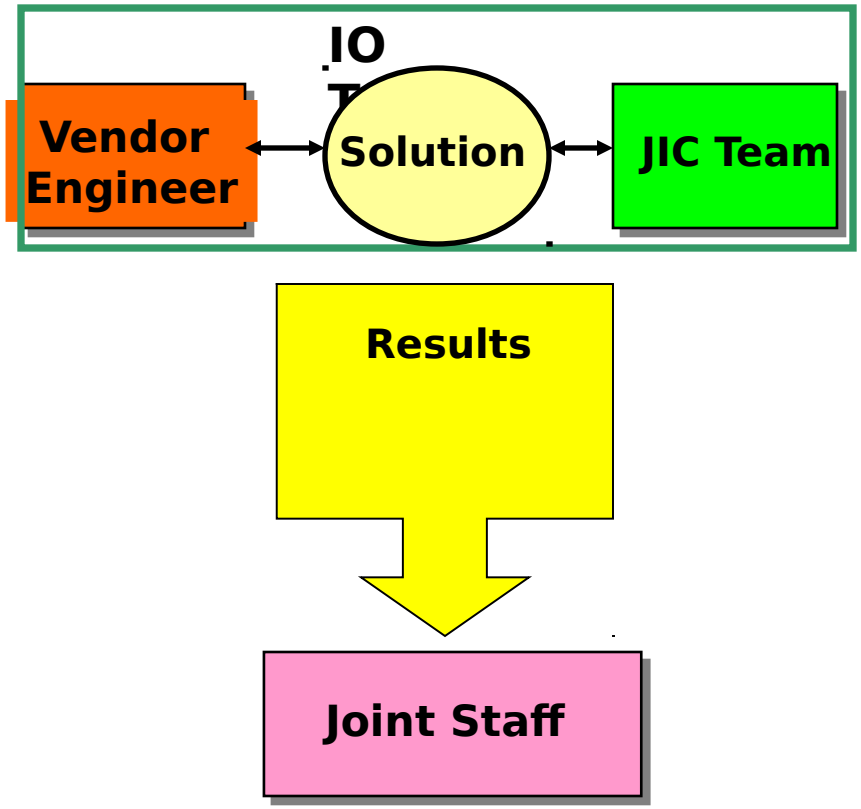
** **Note:** Not all phases are applicable to all solutions

# Step 9: IA Testing Completed

1) IA Team Evaluates findings at end of each phase of testing with vendor
2) At end of testing, determination is made on whether or not to proceed to IO (UCCO in coordination with FSO, AO and IA Test Team)
3) Draft IA Findings letter is generated by IA Test Team NLT 1 week after completion of test.
4) Vendor completes mitigations and submits to IATT NLT 2 weeks after receipt of Draft IA Findings Letter.
5) All parties attend previously scheduled Out brief. (Approximately 3 weeks after completion of testing)
5) Final IA Findings letter is generated by IATT within 3 days after completion of Out brief



# Step 10: IO Testing




1) Concurrent with IA Steps 11 - 12
2) IO testing process
   a) Vendors will be required to provide on-site engineering support during all phases of testing.
   b) Vendors will be allowed to fix findings/TDR's within test window as long as doesn't interfere with completion of testing.
3) Results of testing presented to Joint Staff for final approval.

# Step 11: Out brief (Parallel track)

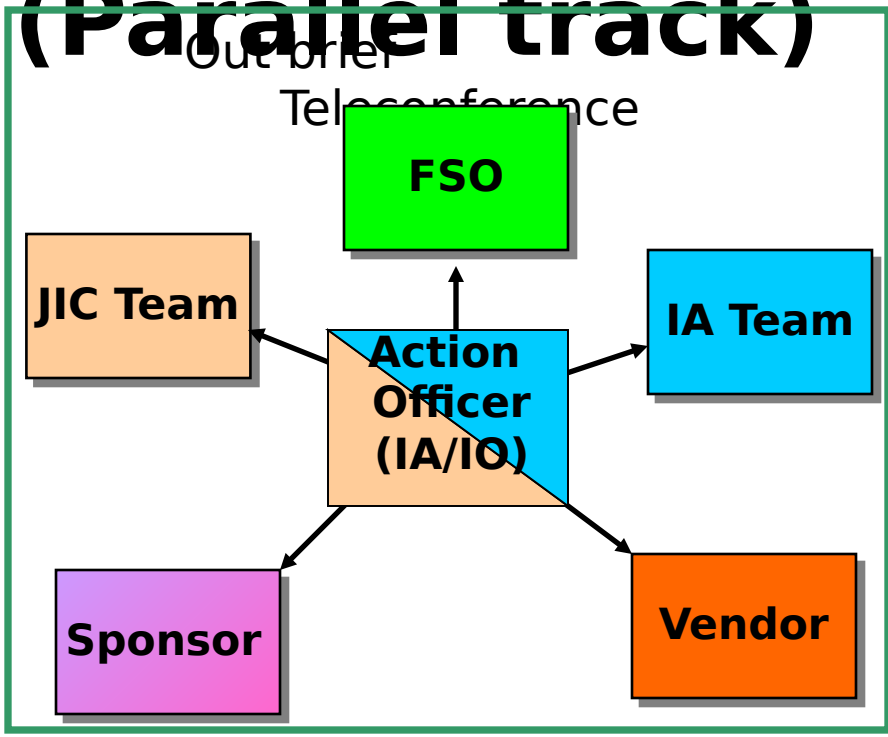
1. Previously scheduled out brief occurs approximately 3 weeks after completion of IA testing.
2. Decision is made on the following:

   **Option 1:** Rework mitigations: UCCO will make official CA recommendation request upon receipt of reworked mitigations.

   **Option 2:** Move Forward: IA Team Develops Security Assessment Report (IA Findings Letter w/vendor mitigations supplied) within 3 days.

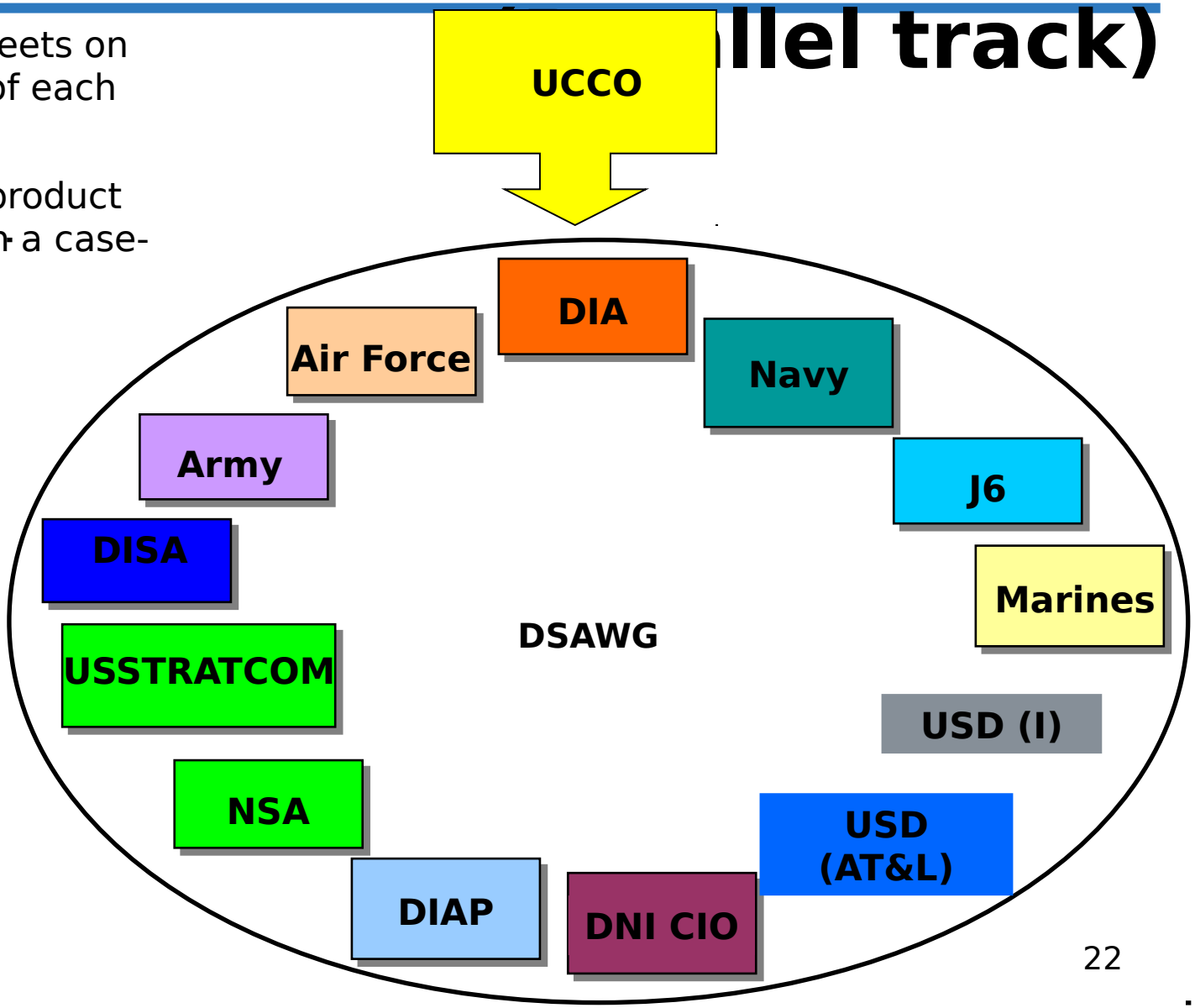
   a) UCCO requests official CA Recommendation letter.

   b) UCCO creates DSAWG Read Ahead Briefing and requests slot on agenda at next scheduled upcoming DSAWG.

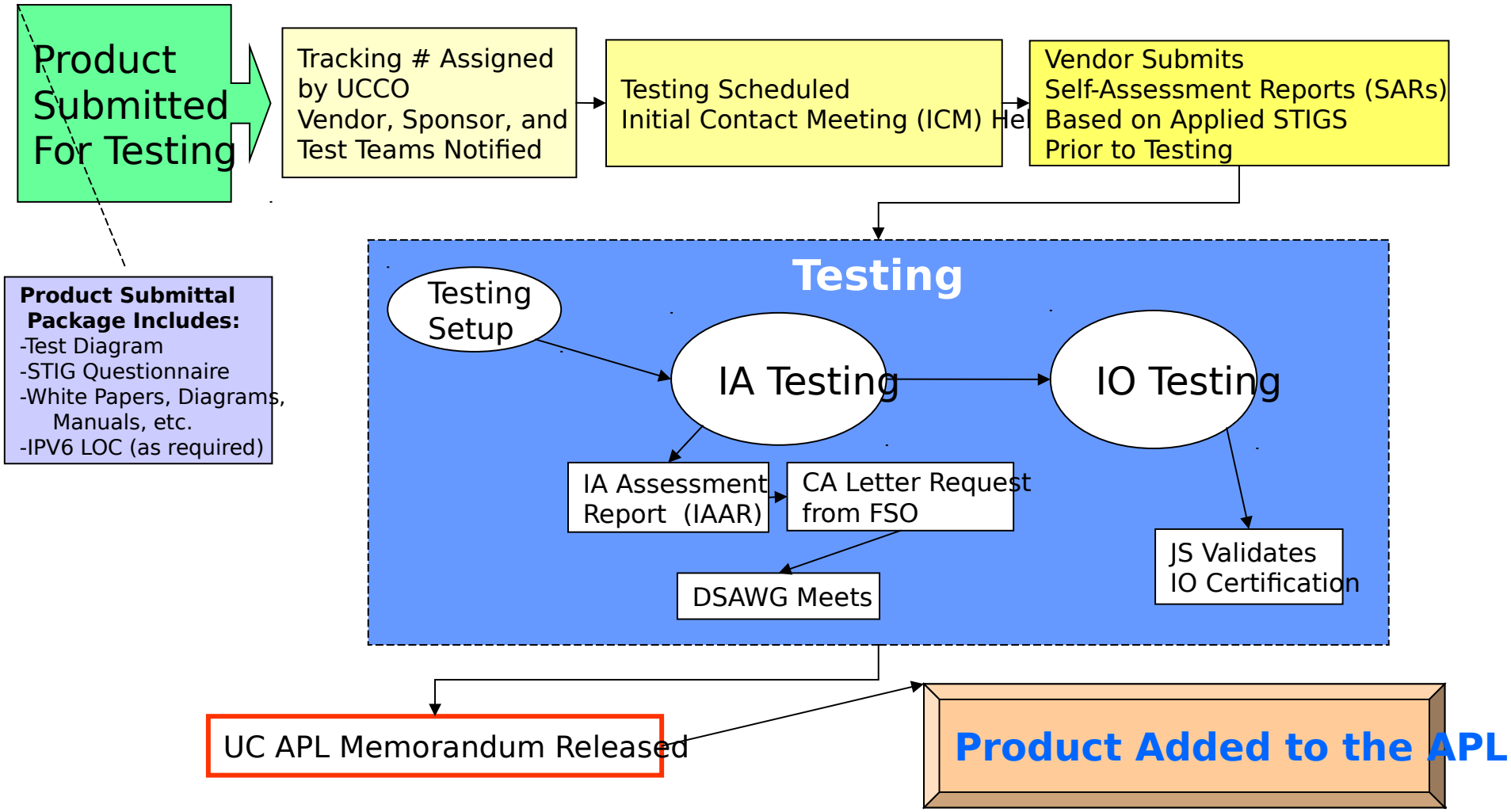


# Step 12: DSAWG (Parallel track)

1. DSAWG Board meets on the 2nd Tuesday of each month.
2. If unsuccessful, product will be worked on a case-by-case basis



# APL Process Flow Diagram



# UCCO Points of Contact

**UCCO Process Manager**
**DSN: (312) 381-0762**
**COM:(703) 882-0762**

**UCCO Process Questions:**
**DSN: (312) 879-3234**
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# Questions?

**www.disa.mil**